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09/450,813	11/29/1999	PAUL A. ROGERS	ACTUP0002	8209

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EXAMINER

DODDS, HAROLD E

ART UNIT PAPER NUMBER

2177

DATE MAILED: 03/14/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/450,813

Applicant(s)

ROGERS ET AL.

Examiner

Harold E. Dodds, Jr.

Art Unit

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☐ Claim(s) \_\_\_\_ is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-34 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 29 November 1999 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_
- 2) ☒ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_ 6) ☐ Other: \_\_\_\_

## DETAILED ACTION

### *Drawings*

1. The drawings are objected to because they fail to show necessary textual labels of features or symbols in Figure 1 as described in the specification. For example, the figure should have a title such as "Diagram of Report Having Group-Level Security" in order to give the viewer necessary detail to fully understand this figure at a glance. A *descriptive* textual label for *each numbered element* in these figures would be needed to fully and better understand these figures without substantial analysis of the detailed specification. Any structural detail that is of sufficient importance to be described should be shown in the drawing. Optionally, applicant may wish to include a table next to the present figure to fulfill this requirement. See 37 CFR 1.83. 37 CFR 1.84(n)(o) is recited below:

"(n) Symbols. Graphical drawing symbols may be used for conventional elements when appropriate. The elements for which such symbols and labeled representations are used must be adequately identified in the specification. Known devices should be illustrated by symbols which have a universally recognized conventional meaning and are generally accepted in the art. Other symbols which are not universally recognized may be used, subject to approval by the Office, if they are not likely to be confused with existing conventional symbols, and if they are readily identifiable.

(o) Legends. Suitable descriptive legends may be used, or may be required by the Examiner, where necessary for understanding of the drawing, subject to approval by the Office. They should contain as few words as possible."

Correction is required.

### ***Claim Rejections - 35 USC § 103***

2. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the

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invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1, 2, 3, 8, 9, 28 and 29 are rejected under 35 U.S.C. 103(a) as being unpatentable over McIntosh (U.S. Patent No. 6,185,576), Shisler et al (U.S. Patent Application No. 2001/0018708), and Nessett et al. (U.S. Patent No. 5,727,143).

4. McIntosh rendered obvious independent claims 1 and 28 by the following:

"...retrieving a data row having data..." at col. 39, lines 10-11.

"...to be contained in the report..." at col. 27, line 50.

"...determining whether data in the data row..." at col. 39, lines 10-11.

"...if the data row ..." at col. 39, lines 10-11.

"...with a new page in the report..." at col. 28, lines 13-14.

"...the data row..." at col. 39, lines 10-11.

"...is placed on the new page..." at col. 28, lines 13-14.

"...placing subsequent data rows..." at col. 39, lines 10-11.

"...on pages..." at col. 28, lines 13-14.

"...such that data..." at col. 39, lines 10-11.

"...in the report is organized..." at col. 27, line 50.

McIntosh does not teach the use of data breaks and the use of security tags.

5. However, Shisler teaches the determination of data breaks as follows:

"...will cause a data break..." at p. 8, par. 0112.

"...causes a data break..." at p. 8, par. 0112.

It would have been obvious to one ordinarily skilled in the art at the time of the invention to use data breaks in a report in order to start over at the top of a page whenever the classification changes for the items being listed.

Shisler does not teach the use of security tags.

6. However, Nessett teaches the use of security tags as follows:

"...forming a first security tag..." col. 11, lines 32-35.

"...associating the first security tag..." col. 11, lines 32-35.

"...having the first security tag..." col. 11, lines 32-35.

"...until a second security tag is formed..." col. 11, lines 32-35.

"...based on a plurality of security tags..." col. 11, lines 32-35.

It would have been obvious to one ordinarily skilled in the art at the time of the invention to use security tags in order to have a convenient method of marking data according to its security classification.

7. As per claim 2, the "...report is generated from one executable component..." is taught by Shisler at par. 5.

8. As per claims 3 and 29, the "...forming a first security tag..." is taught by Nessett at col. 11, lines 32-35,  
the "...comprises retrieving a security identifier..." is taught by Nessett at col. 2, lines 28-30,  
the "...for each data break..." is taught by Shisler at p. 8, par. 0112,  
the "...wherein each data break..." is taught by Shisler at p. 8, par. 0112,

the "...is associated with one or more security identifiers...", is taught by Nessett at col. 2, lines 28-30,

the "...combining the one or more security identifiers...", is taught by Nessett at col. 2, lines 28-30,

and the "...creating a security tag...", is taught by Nessett at col. 11, lines 32-35.

9. As per claim 8, the "...retrieving the data from a data source...", is taught by McIntosh at col. 39, lines 10-11,

the "...sorting the data from the data source...", is taught by Shisler in Figure 21,

the "...based on one or more data breaks...", is taught by Shisler at p. 8, par. 0112,

the "...wherein a data break...", is taught by Shisler at p. 8, par. 0112,

and the "...is caused by a change in category of data...", is taught by Shisler at p. 13, par. 0150.

10. As per claim 9, the "...a data break...", is taught by Shisler at p. 8, par 0112 and the "...is a level break in the data...", is taught by Shisler in Figure 7.

11. Claims 4, 5, and 30 are rejected under 35 U.S.C. 103(a) as being unpatentable over McIntosh, Shisler, and Nessett as applied to claims above, and further in view of Hellend et al. (U.S. Patent No. 6,014,666).

As per claims 4 and 30, the "...with a data row...", is taught by McIntosh at col. 39, lines 10-11,

the "...from a security system...", is taught by Nessett at col. 5, lines 62-64,

the "...security identifiers...", is taught by Nessett at col. 2, lines 28-30,

the "...security tag...", is taught by Nessett at col. 11, lines 32-35,

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the "...adopted from the security system..." is taught by Nessett at col. 5, lines 62-64,  
the "...creating a security tag adaptable..." is taught by Nessett at col. 11, lines 32-35,  
the "...by the security system..." is taught by Nessett at col. 5, lines 62-64,  
the "...and associating the security tag..." is taught by Nessett at col. 11, lines 32-35,  
the "...adaptable by the security system..." is taught by Nessett at col. 5, lines 62-64,  
the "...to a page in the report..." is taught by McIntosh at col. 28, lines 13-14,  
but the "...associating a role adopted..."  
and the "...with one or more roles..." is not taught by either McIntosh, Shisler, or  
Jebens.

However, Helland teaches the mapping of roles as follows:

"...the installer maps the roles to the security configuration of the computer system on which the server application is installed, such as to specific user ids and groups..." at col. 2, lines 59-61.

It would have been obvious to one ordinarily skilled in the art at the time of the invention to associate roles with security identifiers in order to provide a convenient mechanism for relating specific users with specific information contained in the reports.

12. As per claim 5, the "...security system..." is taught by Nessett at col. 5, lines 62-64,  
the "...has a plurality of roles..." is taught by Helland at col. 2, lines 59-61,  
and the "...a plurality of users..." is taught by McIntosh at col. 28, lines 13-14.

13. Claims 6 and 31 are rejected under 35 U.S.C. 103(a) as being unpatentable over McIntosh, Shisler, Nessett, and Hellend as applied to claims 4 and 28 above respectively, and further in view of Asmuth et al. (U.S. Patent No. 5,272,767).

As per claims 6 and 31, the "...in the retrieved data row...", is taught by McIntosh at col 39, lines 10-11,  
the "...upon which a data break is based...", is taught by Shisler at p. 8, par. 0112,  
the "...in the security system...", is taught by Nessett at col. 5, lines 62-64,  
but the "...identifying a data column...",  
and the "...identifying one or more roles that...correspond to the data column...", are not taught by either McIntosh, Shisler, Nessett, or Hellend.

However, Asmuth teaches the association of roles with columns as follows:

"...These two columns are associated with roles that the columns of input table 11 may play in the generation of output table 13 as performed by the tool represented by icon 17..." at col. 3, lines 33-36.

It would have been obvious to one ordinarily skilled in the art at the time of the invention to associate roles with columns in order to provide flexibility in the use of the system.

14. Claim 7 is rejected under 35 U.S.C. 103(a) as being unpatentable over McIntosh, Shisler, Nessett, Hellend, and Asmuth as applied to claim 6 above, and further in view of Crapo (U.S. Patent No. 5,629,846).

As per claim 7, the "...to map the one or more roles...with the data column...", is taught by Asmuth at col. 3, lines 33-36,  
the "...in the security system...", is taught by Nessett at col. 5, lines 62-64,



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but the "...deriving translation rules..." is not taught by either McIntosh, Shisler, Nessett, Hellend, or Asmuth.

However, Crapo teaches the use of translation rules for mapping as follows:

"...The translation rules are used for mapping the entire source document to the target document..." at col. 2, lines 13-14.

It would have been obvious to one ordinarily skilled in the art at the time of the invention to use translation rules to map the roles to columns in order to provide a systematic and consistent method of assigning roles to the columns.

15. Claims 10 and 11 are rejected under 35 U.S.C. 103(a) as being unpatentable over McIntosh, Shisler, and Nessett as applied to claim 1 above, and further in view of Lermuzeaux et al. (U.S. Patent No. 5,621,889) and Kenworthy (U.S. Patent No. 6,317,837).

As per claim 10, the "...determining a first role in a security system that corresponds directly to the user..."  
the "...determining one or more secondary roles that correspond indirectly to the user..."  
the "...combining the first role with the one or more secondary roles..."  
and the "...creating a security clearance for the user..." are not taught by McIntosh, Shisler, or Jebens.

However, Lermuzeaux teaches the use of a security system which uses roles associated with users as follows:

"...The intrusion detection facility of the invention whose software architecture is shown in FIG. 1 is more particularly designed to be associated with a computer installation in the context of a security system designed to protect said computer

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installation from intrusions by users..." at col. 3, lines 13-17.

"...The mission analyzer referenced 120 is defined to verify that the tasks which are current for a user under consideration in the computer installation 1 correspond to the missions specified by the roles specific to that user..." at col. 10, lines 19-22.

It would have been obvious to one ordinarily skilled in the art at the time of the invention to determine roles that correspond to users in order to establish a systematic and convenient means of defining which users will have access to specific data.

Lermuzeaux does not teach the use of security clearances.

However, Kenworthy teaches the use of security clearances as follows:

"...it may be desirable to establish varying levels of security clearance, such that only certain authorized users of the LAN are permitted to access a particular NAD server..." at col. 1, lines 52-54.

It would have been obvious to one ordinarily skilled in the art at the time of the invention to use security clearances in order to further define a systematic and convenient means of defining which users will have access to specific data.

16. As per claim 11, the "...comparing the security clearance..." is taught by Kenworthy at col. 1, lines 52-54, the "...with a security tag..." is taught by Nessett at col. 11, lines 32-35, and the "...to derive a subset of pages in the report that can be viewed by the user..." is taught by McIntosh at col. 28, lines 13-14.

17. Claims 12, 13, 23-25, and 32 are rejected under 35 U.S.C. 103(a) as being unpatentable over McIntosh, Nessett, and Jebens (U.S. Patent No. 6,332,146).

18. McIntosh rendered obvious independent claims 12 and 32 by the following:

"...retrieving a report..." at col. 34, lines 55-58.

"...having a superset of pages..." at col. 28, lines 13-14.

"...a page from the superset of pages..." at col. 28, lines 13-14.

"...associated with the user..." at col. 28, lines 13-14.

"...deriving a subset of pages from the superset of pages based on the comparison such that the subset of pages..." at col. 28, lines 13-14.

"...associated with the report..." at col. 27, line 50.

McIntosh does not teach the use of security tags and security identifiers and allowing users to view only the data they are authorized to view.

19. However, Nessett teaches the use of security tags and security identifiers as follows:

"...having a security tag..." at col. 11, lines 32-35.

"...obtaining a list of security identifiers..." at col. 2, lines 28-30.

"...comparing the list of security identifiers..." at col. 2, lines 28-30.

"...with a plurality of security tags..." at col. 11, lines 32-35.

It would have been obvious to one ordinarily skilled in the art at the time of the invention to use security tags and security identifiers in order to have a convenient method of marking data according to its security classification.

Nessett does not teach allowing users to view only the data they are authorized to view.

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20. However, Jebens teaches allowing users to view only the data they are authorized to view as follows:

"...only contains data that the user is authorized to view...." at col. 13, lines 6-7.

It would have been obvious to one ordinarily skilled in the art at the time of the invention to allow user to view only the information they are authorized to view in order to maintain the security of the information.

21. As per claim 13, the "...presenting the subset of pages as a report to the user..." is taught by McIntosh at col. 28, lines 13-14.

22. As per claim 23, the "...list of security identifiers..." is taught by Nessett at col. 2, lines 28-30  
and the "...is derived from a security system..." is taught by Nessett at col. 5, lines 62-64.

23. As per claim 24, the "...determining a commonality between the security tag ...," is taught by Nessett at col. 11, lines 32-35,  
the "...and the list of security identifiers..." is taught by Nessett at col. 2, lines 28-30,  
the "...including a page in the subset of pages..." is taught by McIntosh at col. 28, lines 13-14,  
the "...if the security tag..." is taught by Nessett at col. 11, lines 32-35,  
and the "...list of security identifiers pass the threshold level of commonality when compared..." is taught by Nessett at col. 2, lines 28-30.

24. As per claim 25, the "...threshold level of commonality is having one term in the security tag..." is taught by Nessett at col. 11, lines 32-35

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and the "...list of security identifiers in common..." is taught by Nessett at col. 2, lines 28-30.

25. Claims 14 and 26 are rejected under 35 U.S.C. 103(a) as being unpatentable over McIntosh, Nessett, and Jebens as applied to claims above, and further in view of Warmus et al. (U.S. Patent No. 6,205,452).

As per claim 14, the "...renumbering pages in the subset of pages such that the first page in the subset of pages is page one and subsequent pages are renumbered consecutively..., is not taught by McIntosh, Nessett, or Jebens.

However, Warmus teaches the numbering of report pages as follows:

"...A block 380 first initializes a left/right (L/R) counter variable to its default value of right because it is assumed that the first page of the book will be one the right side..." at col. 35, rows 9-11.

"...A page number--The page number is the sequential number of the page description in the merged PostScript<sup>TM</sup> file 450 of the page to be rendered..." at col. 43, lines 7-9.

It would have been obvious to one ordinarily skilled in the art at the time of the invention to number the pages in the report sequentially starting with page 1 in order to produce a more attractive report and to remove from report the original pagination so that the user is not able to determine how much information he/she is not authorized to view.

26. As per claim 26, the "...deriving content information including page numbers related to the subset of pages..." is taught by Warmus at col. 43, lines 7-9.

27. Claims 15-17, 20, 33 and 34 are rejected under 35 U.S.C. 103(a) as being unpatentable over McIntosh, Nessett, Jebens, and Warmus as applied to claims above, and further in view of Decker et al. (U.S. Patent No. 4,745,560).

As per claims 15 and 33, the "...represents a page the user is authorized to view...", is taught by Jebens at col. 13, lines 6-7,  
the "...represents a viewable page...", is taught by Jebens at col. 13, lines 6-7,  
but the "...creating a first page map having a first plurality of complete cells for the superset of pages wherein a complete cell represents a page...",  
the "...determining whether a cell from the first plurality of complete cells...",  
and the "...creating a second page map having a second plurality of partial cells wherein a partial cell...", are not taught by either McIntosh, Nessett, Jebens, or Warmus.

However, Decker teaches the use of page maps and cells as follows:

"...The page map contains a memory cell (i.e. one binary bit) for each of the page's many PEL areas..." at col. 2, lines 55-56.

It would have been obvious to one ordinarily skilled in the art at the time of the invention to use page maps designating cells to indicate whether users are authorized to view pages in order to have a compact means of designating which pages particulars users may view.

28. As per claims 16 and 34, the "...comparing the list of security identifiers...", is taught by Nessett at col. 2, lines 28-30,  
the "...associated with the user...", is taught by McIntosh at col. 28, line 13-14,  
the "...with a plurality of security tags...", is taught by Nessett at col. 11, lines 32-35,  
the "...associated with the report...", is taught by McIntosh at col. 27, line 50,

the "...associating a value with each complete cell...", is taught by Decker at col. 2, lines 55-56, and the "...based on whether the user can view a particular page...", is taught by Jebens at col. 13, lines 6-7.

29. As per claim 17, the "...examining the content of a cell...", is taught by Decker at col. 2, lines 55-56.

30. As per claim 20, the "...inserting a partial page number...", is taught by Warmus at col. 43, lines 7-9, the "...from the first page map...", is taught by Decker at col. 2, lines 55-56, the "...into a page number component...", is taught by Warmus at col. 43, lines 7-9, and the "...in a page in the report...", is taught by McIntosh at col. 27, line 50.

31. Claims 18 and 19 are rejected under 35 U.S.C. 103(a) as being unpatentable over McIntosh, Nessett, Jebens, Warmus, and Decker as applied to claim 15 above, and further in view of Rangarajan et al. (U.S. Patent No. 5,706,365).

As per claim 18, the "...creating a partial page map cell that corresponds to a complete cell...", is taught by Decker at col. 2, lines 55-56, the "...representing a page in the report...", is taught by McIntosh at col. 28, lines 13-14, the "...corresponding to the complete cell into the partial cell...", is taught by Decker at col. 2, lines 55-56, but the "...inserting a first page map index value...", is not taught by either McIntosh, Nessett, Jebens, Warmus, or Decker.

However, Rangarajan teaches the use of page map indexes as follows:

"...Each index value unit represents the total number of elements in a index page map..." at col. 7, lines 47-48.

It would have been obvious to one ordinarily skilled in the art at the time of the invention to use a page map index values to designate the pages of information that a user is authorized to view in order to have compact means of designating which pages particulars users may view.

32. As per claim 19, the "...inserting a second page map index value..." is taught by Rangarajan at col. 7, lines 47-48 and the "...into a complete cell..." is taught by is taught by Decker at col. 2, lines 55-56.

33. Claims 21 and 22 are rejected under 35 U.S.C. 103(a) as being unpatentable over McIntosh, Nessett, and Jebens as applied to claim 15 above, and further in view of Shisler.

As per claim 21, the "...in the security tag..." is taught by Nessett at col. 11, lines 32-35, the "...with security identifiers in the list of security identifiers..." is taught by Nessett at col. 2, lines 28-30, the "...associated with the user..." is taught by McIntosh at col. 28, lines 13-14, but the "...mapping level break identifiers..." is not taught by either McIntosh, Nessett, or Jebens.

However, Shisler teaches the use of level breaks in Figure 7.

It would have been obvious to one ordinarily skilled in the art at the time of the invention to use level break identifiers in order to provide a convenient means of identifying the break levels when organizing the report pages for printing a report containing only the information a user is authorized to view.



34. As per claim 22, the "...comparing the list of security identifiers..." is taught by Nassetz at col. 2, lines 28-30, the "...further comprises comparing the level break identifiers..." is taught by Shisler in Figure 7, the "...in a security tag..." is taught by Nassetz at col. 11, lines 32-35, the "...with the security identifiers in the list of security identifiers..." is taught by Nassetz at col. 2, lines 28-30, and the "...associated with the user..." is taught by McIntosh at col. 28, lines 13-14.

35. Claim 27 is rejected under 35 U.S.C. 103(a) as being unpatentable over McIntosh, Nassetz, Jebens, and Warmus as applied to claim 26 above, and further in view of Shisler.

As per claim 27, the "...content information only contains information related to the subset of pages..." is taught by McIntosh at col. 28, lines 13-14, the "...of the subset of pages..." is taught by McIntosh at col. 28, lines 13-14, but the "...and generally reflects a level break structure..." is not taught by McIntosh, Nassetz, Jebens, or Warmus.

However, Shisler teaches the use of level breaks in Figure 7.

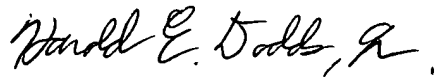
It would have been obvious to one ordinarily skilled in the art at the time of the invention to use level break in order to provide a convenient and orderly means of organizing the report pages for printing a report containing only the information a user is authorized to view.

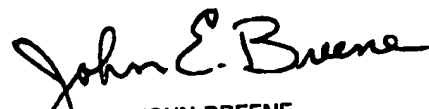
**Conclusion**

36. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Harold E. Dodds, Jr. whose telephone number is (703)-305-1802. The examiner can normally be reached on Monday - Friday 8:00 - 4:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John E. Breene can be reached on (703)-305-9790. The fax phone numbers for the organization where this application or proceeding is assigned are (703)-305-9730 for regular communications and 703-746-7238 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703)-305-3900.

  
Harold E. Dodds, Jr.  
Patent Examiner  
March 1, 2002

  
JOHN BREENE  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100